

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : Group Art Unit:
 Carl Phillip Gusler :
 Rick Allen Hamilton, II :
 : Intellectual Property
 Serial No.: : Law Department
 Filed: : International Business
 : Machines Corporation
 : 11400 Burnet Road
 : Austin, Texas 78758
 Title: Employing Stickiness and :
 Stock Prices for Employee Benefits :
 IBM Docket No.: AUS920010979US1 :

J1000 U.S. PTO
 10/005136
 12/05/01

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner of Patents

Washington, D. C. 20231

Sir:

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56.

While this Information Disclosure Statement may be "material" pursuant to 37 CFR 1.56, it is not intended to constitute an admission that any patent, publication or other

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information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR 1.97(g) the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR 1.56 (a) exists.

The attached forms, PTO/SB/08A and 08B, provide a listing of patents, publications, or other information as required by 37 CFR 1.98 (a) (1).

A copy of each of the items on PTO/SB/08A and 08B is supplied herewith.

Respectfully submitted,

A handwritten signature in cursive script, reading "Paul D. Heydon".

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Approved for release through 10/31/2002. OMB 0651-0031

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet 1 of 1

Application Number	
Filing Date	
First Named Inventor	C. Gusler
Group Art Unit	
Examiner Name	
Attorney Docket Number	AUS920010979US1

U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

**Examiner
Signature**

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Complete if Known	
		Application Number	
		Filing Date	
		First Named Inventor	C. Gusler
		Group Art Unit	
		Examiner Name	
Sheet	1 of 1	Attorney Docket Number	AUS920010979US1

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		ROSENBLOOM, <u>The Handbook of Employee Benefits: Design,</u>	
		<u>Funding and Administration</u> , 5th ed., 2001, McGraw-Hill,	
		New York, pgs. 741 - 758, 778 - 789.	
		SRIRAM, "The Stock Options Game," <u>Business 2.0</u>	
		(magazine formerly known as <u>eCompany Now</u>), July 2000,	
		available at http://www.business2.com/articles/mag/	
		print/0,1643,6742,FF.html .	

Examiner Signature		Date Considered	
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